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Section ANNUAL AUDITED REPORT

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OMB APPROVAL

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Washington DC

**FACING PAGE** 413

Information Required of Brokers and Dealers Pursuant to Section 17 of the Securities Exchange Act of 1934 and Rule 17a-5 Thereunder

**FORM X-17A-5** 

PART III

REPORT FOR THE PERIOD BEGINNIN	NG_01/01/16	_ AND ENDING <u>_12/31/16</u>		
	MM/DD/YY		MM/DD/YY	
A. F	REGISTRANT IDENTIFIC	ATION		
NAME OF BROKER-DEALER: ClearCr	reek Securities, LLC		FFICIAL USE ONLY	
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)		k No.)	FIRM I.D. NO.	
1165 Delaware Street, Suite 130				
	(No. and Street)			
Denver	Colorado	8020	4	
(City)	(State)	(Zip Co	(Zip Code)	
NAME AND TELEPHONE NUMBER O Alexander Ooms	F PERSON TO CONTACT IN RE	303-	731-2960 Code – Telephone Number)	
D A	CCOUNTANT IDENTIFIC		Code - Telephone Rumber)	
INDEPENDENT PUBLIC ACCOUNTANT  Harding and Hittesdorf, P.C.	-	-		
	(Name – if individual, state last, fire	st, middie name)		
650 S. Cherry Street, Suite 1050	Glendale	Colorado	80246	
(Address)	(City)	(State)	(Zip Code)	
CHECK ONE:				
Certified Public Accountant	nt	•		
Public Accountant				
Accountant not resident in	United States or any of its possess	sions.		
	FOR OFFICIAL USE ON	LY		

SEC 1410 (06-02)

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

<sup>\*</sup>Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

#### OATH OR AFFIRMATION

I, Alex	ander Ooms	, swear (or affirm) that, to the best of
my kno	wledge and belief the accompanying financi	al statement and supporting schedules pertaining to the firm of
ClearC	creek Securities, LLC	, as
of Dec	ember 31	, 20_16, are true and correct. I further swear (or affirm) that
neither	the company nor any partner, proprietor, pr	incipal officer or director has any proprietary interest in any account
classifi	ed solely as that of a customer, except as fol	lows:
None		
		Melsan Dans
		Signature
		(60)
_		Title
Sce	attached Jurat	
	Notary Public	
This so	nout ** gantalus (obsolt all applicable baises)	
	port ** contains (check all applicable boxes) Facing Page.	,
	Statement of Financial Condition.	
	Statement of Income (Loss).	
	Statement of Changes in Financial Condition	
	Statement of Changes in Stockholders' Equ	
	Statement of Changes in Liabilities Subord	inated to Claims of Creditors.
	Computation of Net Capital.	Despisements Business to Bull-15-2-2
` ′		
_ 0)		
□ (k)		
()	consolidation.	
	An Oath or Affirmation.	
	) A copy of the SIPC Supplemental Report.	
⊔ (n)	A report describing any material inadequaci	es found to exist or found to have existed since the date of the previous audit.
M (h) (i) (i) (i) (k) M (l) (m)	O Computation for Determination of Reserve Information Relating to the Possession or CA Reconciliation, including appropriate exp Computation for Determination of the Rese AA Reconciliation between the audited and a consolidation.  An Oath or Affirmation.  A copy of the SIPC Supplemental Report.	

<sup>\*\*</sup>For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

JURAT WITH AFFIANT STATEMENT	
State of Olorado County of Denver	} ss.
✓ See Attached Document (Notary to cross out line ☐ See Statement Below (Lines 1–7 to be completed	
3	
56	
7 Signature of Document Signer No. 1	Signature of Document Signer No. 2 (if any)  Subscribed and sworn to (or affirmed) before me this 21st day of tobruary, 2017, by  Month Year
RAQUEL RUDICK Notary Public State of Colorado Notary ID 20104001530 My Commission Expires Apr 24, 2019	Name of Signer No. 1  Name of Signer No. 2 (if any)  Signature of Notary Public
Place Notary Seal/Stamp Above	Any Other Required Information (Residence, Expiration Date, etc.)
This section is required for notarizations performed in	ONAL  Arizona but is optional in other states. Completing this lent reattachment of this form to an unintended document.
Description of Attached Document	
Title or Type of Document: Dath or AF	Filmption
Document Date:	Number of Pages:
Signer(s) Other Than Named Above:	
© 2013 National Notary Association • www.NationalNotar	y.org • 1-800-US NOTARY (1-800-876-6827) Item #25924

# CLEARCREEK SECURITIES, LLC (SEC File No. 8-69393)

Report of Independent Registered Public Accounting Firm On Financial Statements and Supplemental Schedules for the Year Ended December 31, 2016 and Review Report on Exemption Report

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## HARDING AND HITTESDORF, P.C.

Certified Public Accountants

650 S. Cherry Street, Suite 1050 Denver, Colorado 80246 (303) 393-0888 FAX (303) 393-0894 www.hhcpafirm.com



#### REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To The Member ClearCreek Securities, LLC Denver, Colorado

We have audited the accompanying statement of financial condition of ClearCreek Securities, LLC (a limited liability company) as of December 31, 2016, and the related statements of operations, changes in member's equity and cash flows for the year then ended. These financial statements are the responsibility of ClearCreek Securities, LLC's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of ClearCreek Securities, LLC as of December 31, 2016, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The supplementary information contained in Schedules I and II has been subjected to audit procedures performed in conjunction with the audit of ClearCreek Securities, LLC's financial statements. The supplementary information contained in Schedules I and II is the responsibility of ClearCreek Securities, LLC's management. Our audit procedures included determining whether the supplementary information contained in Schedules I and II reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplementary information contained in Schedules I and II. In forming our opinion on the supplementary information contained in Schedules I and II, we evaluated whether the supplementary information contained in Schedules I and II, including its form and content, is presented in conformity with 17 C.F.R. Section 240.17a-5. In our opinion, the supplementary information contained in Schedules I and II is fairly stated, in all material respects, in relation to the financial statements as a whole.

HARDING AND HITTESDORF, P. C

Certified Public Accountants

February 8, 2017

## STATEMENT OF FINANCIAL CONDITION

## **DECEMBER 31, 2016**

## **ASSETS**

CURRENT ASSETS:  Cash and cash equivalents  Accounts receivable	\$	82,548 5,000
TOTAL CURRENT ASSETS	\$	87,548
LIABILITIES AND MEMBER'S EQU	ITY	
CURRENT LIABILITIES: Credit cards payable	\$	358
MEMBER'S EQUITY		87,190
TOTAL LIABILITIES AND MEMBER'S EQUITY	\$	87,548

## STATEMENT OF OPERATIONS

## YEAR ENDED DECEMBER 31, 2016

REVENUES:		
Engagement fees	\$	66,710
Consulting income		94,000
	<del></del>	160,710
OPERATING EXPENSES:		
Professional fees		16,587
Other operating expenses		12,247
Regulatory expenses		1,106
		29,940
NET INCOME	\$	130,770

See accompanying notes to financial statements.

## STATEMENTS OF CHANGES IN MEMBER'S EQUITY

Member's equity at December 31, 2016	\$	87,190
Net income	<del>,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,</del>	130,770
Member's distributions		(184,073)
Member's equity at January 1, 2016	\$	140,493

See accompanying notes to financial statements.

## STATEMENT OF CASH FLOWS

## YEAR ENDED DECEMBER 31, 2016

CASH FLOWS FROM OPERATING ACTIVITIES: Net income	\$	130,770
Adjustments to reconcile net income to net		
cash provided by operations:  Increase (decrease) in cash resulting from change in:		
Accounts receivable		(4,000)
Credit cards payable		(683)
range fragation		(003)
NET CASH PROVIDED BY OPERATING ACTIVITIES		126,087
		·
CASH FLOWS FROM FINANCING ACTIVITIES:		
Member's distributions		(184,073)
NET CARLIGED DOD DDAANON CAA CERWATER		
NET CASH USED FOR FINANCING ACTIVITIES		(184,073)
NET INCREASE IN CASH AND CASH EQUIVALENTS		(57,986)
THE INCIDENT CASH AND CASH EQUIVALENTS		(37,980)
CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR		140,534
CASH AND CASH EQUIVALENTS AT END OF YEAR	_\$	82,548

See accompanying notes to financial statements.

#### NOTES TO FINANCIAL STATEMENTS

#### YEAR ENDED DECEMBER 31, 2016

#### A. Summary of Significant Accounting Policies

#### **Organization**

ClearCreek Securities, LLC (the Company) is a Colorado limited liability company organized on October 17, 2013 to engage in investment banking and financial consulting. The Company is a broker-dealer registered with the Securities and Exchange Commission (the "SEC") and the Financial Industry Regulatory Authority, Inc. ("FINRA"). The Company operates pursuant to paragraph (k)(2)(B) of Rule 15c3-3 of the Securities and Exchange Act of 1934 (the "Act") and does not carry customer accounts or clear customer transactions, nor does it plan to hold any customers' securities or funds. As a result, the Company is exempt from the remaining provisions and requirements of Rule 15c3-3 of the Act. Under this exemption, Computation for Determination of Reserve Requirements and Information Relating to Possession or Control Requirements are not required.

## Cash and Cash Equivalents

The Company considers cash on hand and investments with original maturities of three months or less to be cash equivalents.

#### Concentration of Credit Risk

Financial instruments that potentially subject the Company to concentration of credit risk consist primarily of temporary cash investments. The Company restricts temporary cash investments to financial institutions with high credit standing. Such temporary cash investments are often in excess of the FDIC insurance limit.

#### Revenue Recognition

Transaction fees related to mergers, acquisitions, finders, and financing fees are recognized upon closing of the related transaction. These are reflected as "engagement fees" in the accompanying statement of operations.

#### NOTES TO FINANCIAL STATEMENTS

#### YEAR ENDED DECEMBER 31, 2016

#### A. Summary of Significant Accounting Policies (continued)

#### Income Taxes

The Company is not a taxpaying entity for federal or state income tax purposes. Accordingly, no income tax expense has been recorded in the financial statements. Income of the Company is taxed in the member's income tax return.

Interest and penalties associated with the Company's tax positions are reflected as other expense in the financial statements. There were no interest or penalties incurred during the year ended December 31, 2016.

#### Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

#### B. Significant Clients

The Company generally derives significant revenue from a few key clients. However, the makeup of the Company's client base varies from year to year. Accordingly, an annual concentration in revenue from the same clients is remote. In 2016, the Company derived 83% of total fee revenue from four clients.

#### C. Subsequent Events

Management has evaluated subsequent events through February 8, 2017, which is the date the financial statements were available to be issued.

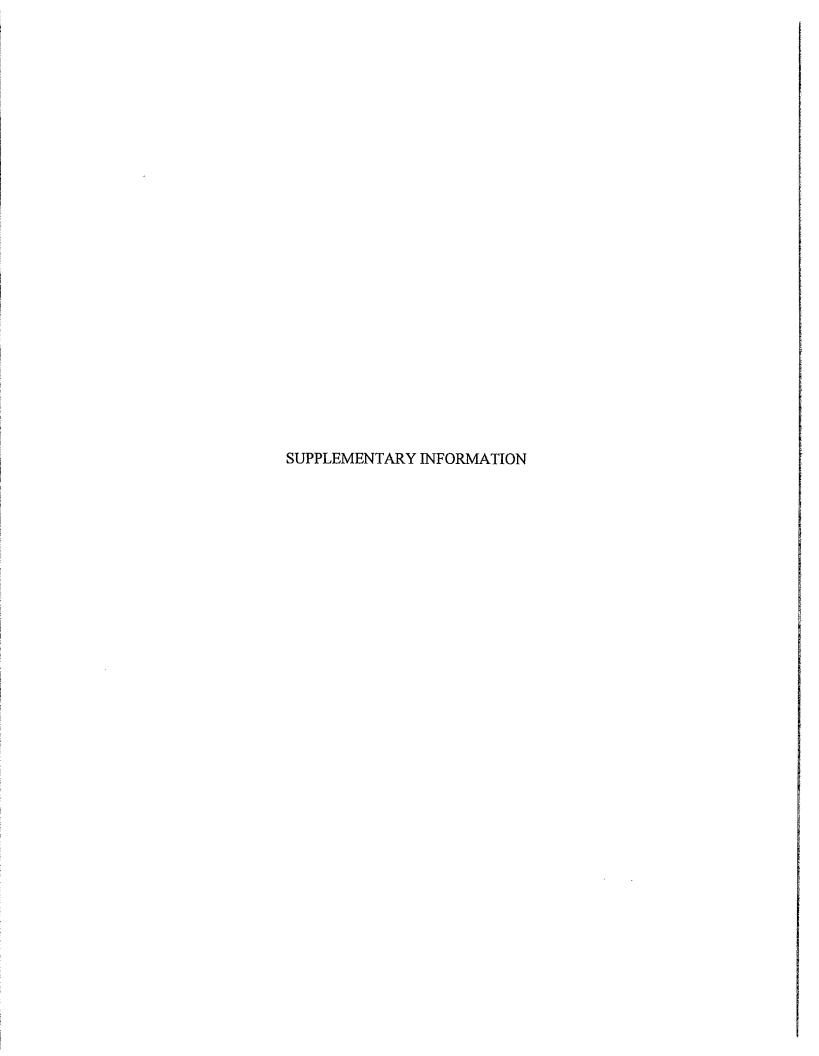
#### NOTES TO FINANCIAL STATEMENTS

#### YEAR ENDED DECEMBER 31, 2016

### D. Statutory Requirements

Pursuant to Rule 15c3-1 of the Securities Exchange Act of 1934, the Company is required to maintain minimum net capital as defined under such rule. At December 31, 2016, the Company's net capital was \$82,190 and the required net capital was \$5,000.

The Company is exempt from certain provisions of Rule 15c3-3 of the Securities Exchange Act of 1934 and, accordingly, is not required to maintain a "Special Account for Exclusive Benefit of Customers". Such exemption is in accordance with paragraph (k) (2) (i) of the Rule.



# SUPPLEMENTAL SCHEDULE OF COMPUTATION OF NET CAPITAL, MINIMUM NET CAPITAL REQUIRED, AND AGGREGATE INDEBTEDNESS

## **DECEMBER 31, 2016**

## COMPUTATION OF NET CAPITAL AND MINIMUM NET CAPITAL REQUIRED

MEMBER'S EQUITY	\$ 87,190
DEDUCTIONS: Non-allowable assets	(5,000)
NET CAPITAL	<u>\$ 82,190</u>
MINIMUM NET CAPITAL REQUIRED (greater of 6-2/3% of aggregate indebtedness or \$5,000)	<u>\$ 5,000</u>
AGGREGATE INDEBTEDNESS	
TOTAL LIABILITIES AND AGGREGATE INDEBTEDNESS	<u>\$ 358</u>
RATIO OF AGGREGATE INDEBTEDNESS TO NET CAPITAL	0044:1

There is no difference between the above net capital computation and the corresponding computation included in the Company's Form X-17A-5 Part IIA Filing.

# COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS FOR BROKERS AND DEALERS PURSUANT TO RULE 15c3-3

## **DECEMBER 31, 2016**

The Company is exempt from the provisions of Rule 15c3-3 under the Securities Exchange Act of 1934, in that the Company's activities are limited to those set forth in the conditions for exemption appearing in paragraph (k) (2) (i) of the Rule.

### HARDING AND HITTESDORF, P.C.

Certified Public Accountants

650 S. Cherry Street, Suite 1050 Denver, Colorado 80246 (303) 393-0888 FAX (303) 393-0894 www.hhcpafirm.com



#### Report of Independent Registered Public Accounting Firm

We have reviewed management's statements, included in the accompanying Exemption Report, in which (1) ClearCreek Securities, LLC identified the following provisions of 17 C.F.R. § 15c3-3(k) under which ClearCreek Securities, LLC claimed an exemption from 17 C.F.R. § 240.15c3-3: (k)(2)(i) (the "exemption provisions") and (2) ClearCreek Securities, LLC stated that ClearCreek Securities, LLC met the identified exemption provisions throughout the most recent fiscal year without exception. ClearCreek Securities, LLC's management is responsible for compliance with the exemption provisions and its statements.

Our review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about ClearCreek Securities, LLC's compliance with the exemption provisions. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, we do not express such an opinion.

Based on our review, we are not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in paragraph (k)(2)(i) of Rule 15c3-3 under the Securities Exchange Act of 1934.

Harding Althordorf, P.C.

Denver, Colorado February 8, 2017



#### **EXEMPTION REPORT**

ClearCreek Securities, LLC, (the "Company") is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, "Reports to be made by certain brokers and dealers"). This Exemption Report was prepared as required by 17 C.F.R. §240.17a-5(d)(1) and (4). To the best of its knowledge and belief, the Company states the following:

- 1. The Company claimed an exemption from 17 C.F.R. § 240.15c3-3 under the following provisions of 17 C.F.R. §240.15c3-3(k)(2)(i)
- 2. The Company met the identified exemption provisions in 17 C.F.R. §240.15c3-3(k) throughout the most recent fiscal year without exception.

ClearCreek Securities, LLC

I, Alexander Ooms, swear (or affirm) that, to my best knowledge and belief, this Exemption Report is true and correct.

Title: Managing Member

FOR

December 31, 2016